

<b>Form PTO-1449</b> (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5226-02200  APPLICANT: John Bunda  FILING DATE: October 3, 2001	SERIAL NO. 09/970,078  GROUP: 2161
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### U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

### FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
SK	E7	WO 01/42967	June 14, 2001	PCT			

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

SK	E1	International Search Report, PCT/US02/18063, mailed May 8, 2003					
	E2	International Search Report, PCT/US02/18224, mailed May 15, 2003					
	E3	International Search Report, PCT/US02/18978, mailed May 21, 2003					
	E4	International Search Report, PCT/US02/26471, mailed December 11, 2003					
	E5	International Search Report, PCT/US02/31239, mailed April 3, 2003					
SK	E6	International Search Report, PCT/US02/34357, mailed January 7, 2003					

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EXAMINER:

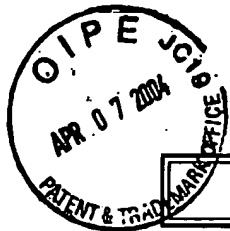
*2/11/06*

DATE CONSIDERED:

*5/11/06*

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Information Disclosure Statement--PTO 1449 (modified)



## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of  
Invention

METHODS AND SYSTEMS FOR MANAGING A  
PORTFOLIO OF SECURITIES

Application Number: 09/970078



Confirmation Number: 8120

First Named Applicant: John Bunda

Attorney Docket Number: 5226-02200

Art Unit: 2163

Examiner: Unknown Unknown

Search string: ( 5809483 or 5946666 or 6401105 or 6408282  
or 6510419 or 20020188548 or 20020178099 or  
20020194111 or 20020194110 or 20030083974  
or 20030041006 ).pn.

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GROUP 3800

### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
Sc	1	5809483	1998-09-15	Broka et al.			
I	2	5946666	1999-08-31	Nevo et al.			
I	3	6401105	2002-06-04	Carlin et al.			
↓	4	6408282	2002-06-18	Buist			
Sc	5	6510419	2003-01-21	Gatto			

### US Published Applications

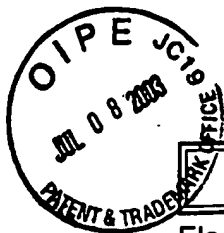
Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
Sc	1	20020188548	2002-09-15	Bunda	A1		
I	2	20020178099	2002-11-28	Young	A1		
I	3	20020194111	2002-12-19	Young	A1		
I	4	20020194110	2002-12-19	Young	A1		
Sc	5	20030083974	2003-05-01	Bunda	A1		

SC	6	20030041006	2003-02-27	Bunda	A1
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Signature

Examiner Name	Date
<i>Don Am</i>	5/9/06



## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

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Stylesheet Version v18.0

<b>Title of Invention</b>	<b>METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES</b>																																																												
<p>Application Number: 09/970078 Confirmation Number: 8120 First Named Applicant: John Bunda Attorney Docket Number: 5226-02200 Art Unit: 2163 Search string: ( 5193056 or 4752877 or 6415267 or 6029146 or 5297031 or 6035287 ).pn.</p> <p><b>US Patent Documents</b></p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td>SC</td><td>1</td><td>5193056</td><td>1993-03-09</td><td>Boes</td><td></td><td></td><td></td></tr><tr><td></td><td>2</td><td>4752877</td><td>1988-06-21</td><td>Roberts et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>3</td><td>6415267</td><td>2002-07-02</td><td>Hagan</td><td></td><td></td><td></td></tr><tr><td></td><td>4</td><td>6029146</td><td>2000-02-22</td><td>Hawkins et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>5</td><td>5297031</td><td>1994-03-22</td><td>Guttermann et al.</td><td></td><td></td><td></td></tr><tr><td>SC</td><td>6</td><td>6035287</td><td>2000-03-07</td><td>Stallaert et al.</td><td></td><td></td><td></td></tr></tbody></table> <p><b>RECEIVED</b> JUL 11 2003 <b>GROUP 3600</b></p> <p><b>Signature</b></p> <table border="1"><thead><tr><th>Examiner Name</th><th>Date</th></tr></thead><tbody><tr><td><i>Den</i> <i>Am</i></td><td>5/9/06</td></tr></tbody></table>		init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	SC	1	5193056	1993-03-09	Boes					2	4752877	1988-06-21	Roberts et al.					3	6415267	2002-07-02	Hagan					4	6029146	2000-02-22	Hawkins et al.					5	5297031	1994-03-22	Guttermann et al.				SC	6	6035287	2000-03-07	Stallaert et al.				Examiner Name	Date	<i>Den</i> <i>Am</i>	5/9/06
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Examiner Name	Date
<i>Don Ann</i>	<i>5/9/06</i>

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List of Patents and Publications  
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Disclosure Statement  
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-02200

SERIAL NO: 09/970,078

APPLICANT: John Bunda

FILING DATE: October 3, 2001

GROUP: 2163

**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
SC	D1	6,317,728 B1	11/13/01	Kane			
J	D2	5,819,238	10/06/98	Fernholz			
SC	D3	5,640,505	06/17/97	Hearn et al.			

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**GROUP 3600****FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.

EXAMINER:

*John Bunda*

DATE CONSIDERED:

*5/9/06*

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

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**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
SC	B1	4,674,044	6/1987	Kalmus, et al.			
	B2	5,347,452	9/1994	Bay, Jr.			
	B3	5,787,402	7/1998	Potter, et al.			
	B4	5,950,176	9/1999	Keiser, et al.			
	B5	6,014,643	1/2000	Minton			
	B6	6,016,483	1/2000	Rickard, et al.			
	C1	6,260,025	7/2001	Silverman, et al.			
	C2	6,006,206	12/1999	Smith, et al.			
SC	C3	5,987,432	11/1999	Zusman, et al.			

**FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2.
SC	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs.
	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2.
SC	AA	Stand & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock

EXAMINER: *am*DATE CONSIDERED: *5/2/06*

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SC	C4	5,966,531	10/1999	Skeen, et al.			
	C5	5,924,083	7/1999	Silverman, et al.			
	C6	5,924,082	7/1999	Silverman, et al.			
	C7	5,727,165	3/1998	Ordish, et al.			
	C8	5,195,031	3/1993	Ordish			
	C9	5,136,501	8/1992	Silverman, et al.			
	C10	5,077,665	12/1991	Silverman, et al.			
	C11	5,034,916	7/1991	Ordish			
SC	C12	5,003,473	3/1991	Richards			

**FOREIGN PATENT DOCUMENTS**

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**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

SC	C13	"gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000					
SC	C14	Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000					

EXAMINER:

*John Bunda*

DATE CONSIDERED:

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SC	C15	4,750,135	6/1988	Boilen			
↓	C16	4,745,559	5/1988	Willis, et al.			
SC	C17	6,278,982	8/2001	Korhammer, et al.			

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Technology Center 2100

**FOREIGN PATENT DOCUMENTS**

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**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**


EXAMINER: *Sam Chudler*DATE CONSIDERED: *5/29/02*

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